

# **Supervisor's Guide**

## **Washington State Employee Assistance Program**

Washington State Department of Personnel

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*This manual is available in alternate format upon request. If you are a person with a disability and need special accommodations, please contact the Washington State Employee Assistance Program at (360) 753-3260.*

## Introduction

### **What Is the Washington State Employee Assistance Program?**

The Washington State Employee Assistance Program (EAP), formerly known as the Employee Advisory Service (EAS), is a voluntary, confidential service that helps with personal or work-related problems that may be impacting work performance. The service is available to all state employees and their family members, as well as to those at most state colleges, universities and other governmental programs.

EAP is a worksite-based program designed to assist in the identification and resolution of productivity problems associated with employees impaired by personal problems including, but not limited to: health, marital, family, financial, alcohol, drug, legal, emotional, stress, or other personal issues which could adversely affect employee job performance.

### **Purpose**

The focus of the Washington State EAP is on work productivity and performance. The purpose of the EAP is to help employees prevent or resolve personal problems that may interfere with job performance. Supervisors also use EAP as an alternative or adjunct to discipline to assist a troubled employee in returning to an acceptable level of productivity.

### **Services**

- Consultation with human resources, managers, supervisors, labor and employees.
- Assessment and short-term problem solving for employees and family members.
- Referral to appropriate resources for all levels of employees and their family members experiencing personal problems.
- Follow-up services.
- A variety of presentations on health and wellness topics designed to assist managers and employees.
- Critical Incident Management Services.

### **Results**

The EAP works. Many managers, human resource professionals and faculty members from nearly every state agency and institution of higher education throughout the state have effectively used EAP to help valuable employees resolve personal problems and restore them to full productivity.

**EAP Mission Statement:** *The Washington State Employee Assistance Program (EAP) supports the well-being of state employees to promote a resilient and productive work environment.*

## **Confidentiality**

Confidentiality is the foundation of the Washington State EAP. Client confidentiality is guaranteed by federal and state law. See Appendices A and B for the EAP Confidentiality Policy and the state Policy on Alcoholism and Drug Dependency.

## **Types of EAP Referrals**

### **A. Formal Referral**

A Supervisor or Human Resource representative refers an employee to the EAP for work performance problems and notifies the EAP by telephone or in writing. The supervisor/HR will be notified of the employee's contact with the EAP.

### **B. Informal Referral**

A Supervisor or Human Resource representative suggests or refers an employee to the EAP, but the referral is not for work performance problems. Supervisor/HR will not be notified of EAP contact without the employee's consent.

### **C. Self Referral**

An action in which an employee or family member independently decides to contact the EAP for a confidential appointment. Job performance problems may or may not exist. Supervisor/HR will not be notified of EAP contact without employee's consent.

Remember that the EAP is a voluntary program. "...Participation or non-participation by any employee in the employee assistance program shall not be a factor in any decision affecting an employee's job security, promotional opportunities, corrective or disciplinary action, or other employment rights..." (RCW 41.04.730) The determining factor is whether the employee's job performance or behavior improves to meet the standard.

## **A Coordinated Effort**

Correcting job performance difficulties caused by personal problems requires a coordinated effort by management, the employee, and the EAP.

The key role played by management, as a member of the intervention effort, is to identify the performance or behavioral difficulties and use the authority of the management position and reliance on "Progressive Discipline" and "Just Cause" to motivate the employee to seek expert problem-solving assistance through the EAP.

# The Iceberg Concept

## (of Persistent Employee Performance Problems)

Employees who are adequately trained, equipped, and coached by their supervisors usually work effectively. If a person exhibits **continuing and persistent** job performance problems, often those job problems are symptomatic of complex, underlying personal problems. Such problems are much like the “tip of the iceberg.” These are warning signs that other serious problems may be present.

### Patterns of Job Performance Deterioration

#### Attendance

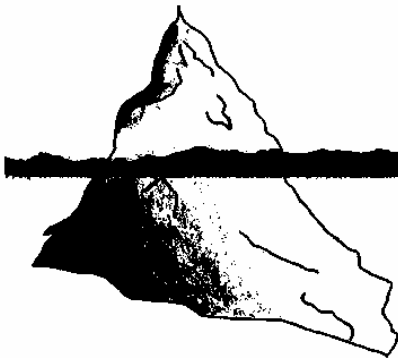
- Absenteeism/tardiness

#### Performance

- Decrease in quality/quantity of work
- Difficulty completing tasks or meeting deadlines
- Erratic work patterns
- Errors in judgment

#### Conduct

- Accidents/safety violations
- Interpersonal conflicts
- Reporting to work in abnormal condition
- Resistance to change
- Threats/workplace violence



#### Complex Underlying Personal Problems

- Alcoholism/abuse/misuse
- Anger/stress
- Domestic violence
- Drug addiction/abuse/misuse
- Financial problems
- Grief and loss
- Legal problems
- Marital/family problems
- Mental health issues
- Other addictions, including internet
- Physical illness
- Vocational/career

Identifying and confronting employee job performance problems are supervisory responsibilities. **Diagnosing and attempting to treat the complex underlying causes are not supervisory responsibilities.** Referral to the EAP aids the employee in finding the professional help needed to manage personal problems. The supervisor's early intervention can motivate an employee to make serious efforts toward resolving job performance problems.

# The Five Step Process

## STEP 1: Observation/Recognition

Through active supervision, you observe employee job performance problems. If ignored, the chances are high the problem will get worse. **Identify specific behaviors and their impact on job performance. Don't turn your back on them.**

## Signs of Job Performance Deterioration

The following are some classic signs of job performance deterioration, which should be observed, documented and confronted.

*All employees, including yourself, exhibit some of these job performance problems occasionally. It is the repetition or pattern of job performance problems that you observe, document, and take action to correct.*

## Attendance

### Absenteeism/tardiness

- ✓ Unauthorized leave
- ✓ Excessive use of sick leave, vacation leave used as sick leave, or leave without pay (refer to agency leave standards)
- ✓ Before and after weekend absences
- ✓ Repeated unscheduled absences
- ✓ Excessive tardiness, especially following weekends or when returning from lunch
- ✓ Leaves work early
- ✓ Peculiar and increasingly improbable excuses for absences
- ✓ Higher absenteeism rate than other employees for colds, flu, etc.

### "On-the-job" absenteeism

- ✓ More absences from work station than job requires
- ✓ Frequent trips to water fountain or restroom
- ✓ Long or frequent coffee or cigarette breaks
- ✓ Frequent physical illnesses on the job
- ✓ Excessive use of telephone or computer for non-work related business

## Performance

### Lowered job efficiency

- ✓ Misses deadlines
- ✓ Makes mistakes due to inattention, poor judgment or lack of attention to detail
- ✓ Wastes material

- ✓ Makes irrational decisions
- ✓ Complaints from co-workers, other state employees, and/or general public
- ✓ General decline in job performance

#### Confusion/concentration and memory difficulties

- ✓ More time is required to perform less work
- ✓ More effort is required to perform less work
- ✓ Difficulty in recalling instructions, details, procedures, etc.
- ✓ Increasing difficulty in handling complex assignments
- ✓ Difficulty in recalling own mistakes
- ✓ Inattention to detail

#### Erratic work patterns

- ✓ Alternate periods of very high and very low productivity
- ✓ The difference between high and low productivity increases over time

### **Conduct**

#### Accidents/safety violations

- ✓ Accidents on the job
- ✓ Accidents off the job (but affecting job performance through absenteeism or inability to function)
- ✓ Safety violations as delineated in WAC 296-800-110 "Safe Place Standards" and other agency safety regulations
- ✓ Violations of Drug Free Workplace standards or Department of Transportation regulations

#### Interpersonal conflicts

- ✓ Friction with co-workers
- ✓ Complaints from co-workers, other state employees, and/or general public
- ✓ Friction with supervisors
- ✓ Over-reaction to real or imagined criticism or situation
- ✓ Wide mood swings which affect workplace morale
- ✓ Harbors unreasonable resentments
- ✓ Begins to avoid co-workers

#### Resistance to change

- ✓ Deviation from job routine results in unusual amounts of stress
- ✓ Rigidly maintains need to follow old procedures, habits and/or patterns
- ✓ Reports to work in abnormal condition
- ✓ Comes to work in a "changed" condition (i.e., slurred speech, motor coordination, personality, cleanliness/grooming)
- ✓ Appears to be under the influence of alcohol or other drugs

Threats of violence

- ✓ To self
- ✓ To others
- ✓ To property

## **STEP 2: Documentation**

Careful documentation is essential to effective monitoring of work performance problems.

The current Work Performance Calendar found in Appendix C is ideal for use in this process. The visual presentation of performance problems combined with the written record is very effective in helping the employee understand workplace concerns. You can obtain the record for the current year and make as many copies as you desire from the EAP website at <http://hr.dop.wa.gov/eap.html>. To be consistent, include a record or calendar in each employee's file.

Taking action requires accurate documentation of verifiable facts. Only behaviors that have a detrimental impact on the job or agency are noted. This includes:

- What was observed;
- When it occurred;
- Who (names of others involved, including any witnesses) was involved or witnessed the event;
- Your action (what corrective measures were recommended or taken; when and where these incidents were discussed).

Notes include references to performance expectations set forth in your employee's Performance and Development Plan (or other written performance expectations), position description and agency or institution-published policies and rules.

Specific, ongoing documentation both clarifies and supports formal actions when necessary. The employee may be unaware that his/her job performance is affected. Providing specific examples may help the employee understand the problem and possible consequences.

Remember to respect your employee's privacy. You may consult with your manager, human resources and EAP to determine if your documentation is clear and appropriate.



### **STEP 3: Action**

The supervisor's discussion with the employee concerning job performance problems is crucial. The supervisor communicates that (s)he values the employee and wants to help resolve the performance problem(s) if possible. The initial discussion with the employee will be based on specific behavioral and performance data rather than vague references to unsatisfactory work.

***It is important for the supervisor to not attempt to diagnose or counsel the employee regarding personal problems.***

#### **Preparation**

- ✓ It is recommended by the EAP that you use the Work Performance Calendar for documentation of specific incidents of poor job performance behavior.
- ✓ Review your employee's PDP and be prepared to reference appropriate Performance Expectations, including Key Competencies not being fulfilled.
- ✓ Be aware of your own expectations. What is acceptable or unacceptable job performance? How much deviation is acceptable? Is the employee aware of your expectations?
- ✓ Be consistent with all your employees. Maintain the same expectations for all employees you supervise.
- ✓ Before any action is taken, contact your HR staff to ensure you are following all contractual responsibilities regarding formal actions.
- ✓ Consider agency policies and bargaining agreement requirements. Consult with HR if in doubt.
- ✓ Avoid criticism in the presence of co-workers. Select a private place and time for the discussion.

#### **The Discussion**

- ✓ It is helpful to preface your discussion of performance deficiencies by pointing out to the employee that you and others in the agency recognize his/her value.
- ✓ Be firm, honest and specific.

- ✓ Focus the discussion on job performance and workplace behaviors, rather than on the person.
- ✓ If the employee blames the poor performance on some off-the-job problem, avoid personal involvement. Refer the employee to the EAP for problem-resolving assistance.

### **Follow-Through**

- ✓ Explain your agency's or institution's procedures and where the employee is in that process. This will communicate the seriousness of the matter.
- ✓ Develop a plan for improvement, including specific expectations. Obtain a commitment from the employee to follow the plan. Set a time frame and meet periodically to evaluate performance. Document this process.

## **STEP 4: Referral**

An EAP referral is appropriate to assess issues that may be impacting job performance. Experience shows that most employees accept the referral when the EAP is presented in a positive way of helping the employee.

Referral to the EAP gives everyone involved a chance to resolve the problem at the earliest level. The goal is to correct and not punish.

### **The Supervisor's Role**

- ✓ Call the EAP and explain you are making a referral. See Appendix D for suggested language.
- ✓ Explain why the referral is being made.
- ✓ Emphasize the confidentiality of the services provided by the EAP, and give the employee a brochure. For further information, refer to the section on Confidentiality on page 2.
- ✓ Explain the employee's responsibility to make an EAP appointment within the allotted time you specify. Leave with pay may be given for this assessment. (See Appendix E for WAC 357-31-325, Leave With Pay).

- ✓ Explain that you have notified the EAP of your referral and that the EAP will provide you with the following information about the referral:
  - Whether the employee made and kept the appointment with the EAP.
  - What time the employee arrived and left the EAP office.
  - If the employee has further appointments scheduled with EAP.
- ✓ Notify the EAP by phone, fax or written correspondence when a referral has been made. Written information regarding the reason for the referral and any action taken helps the EAP to clearly understand the situation.

### **The Employee Assistance Professional's Role**

- ✓ Provide a professional assessment of underlying personal problems.
- ✓ Motivate and assist the employee or management to develop a workable problem-resolving plan.
- ✓ Refer the employee or management to appropriate professional services.
- ✓ Provide supportive follow-up services.
- ✓ Provide consultation for management on how to best help the employee resolve performance problems and provide follow-up services while maintaining appropriate confidentiality.

### **STEP 5: Follow-Up/Reintegration**

The supervisor follows the employee's performance and progress.

The follow-up process is one of the most easily overlooked or ignored. It is, however, one of the most important aspects of the entire process. The lack of follow-up could negate or diminish efforts that have been made thus far. Once expectations have been clearly stated, it is vital for the supervisor to follow up in a constructive way to determine that expectations are being met.

### **Progressive Discipline/Just Cause**

The decision to discipline is made by the supervisor and agency management. Our recommendation is to make a referral and encourage the employee to use the Employee Assistance Program any time you take action up to and including termination.

Referral to the EAP is not a part of discipline, but works as an adjunct or effectively complements progressive discipline and just cause to achieve desired changes in employee behavior.

*The Employee Assistance Program can be an alternative to help an employee improve work performance without disciplinary steps. Your goal, and that of the EAP, is to improve job performance. Your EAP may be able to help the employee resolve issues that are underlying causative factors of job performance problems. If the employee comes to accept responsibility for the job deficiency and improves to meet the job standards, this goal has been reached. If the standards are still not met, further disciplinary steps can still be taken. The EAP is not a substitute for discipline. An employee must always be held responsible for substandard job performance or unacceptable behavior.*

### **Guidelines for Working with Employees Exhibiting Work Performance Problems:**

- Recognize that it takes time for the situation to normalize.
- Spend sufficient time with the employee going over work objectives and expectations. There should be no question as to what is expected of the employee and what action will be taken if those expectations are not met.
- Observe, monitor, and document work performance problems.
- If the employee fails to correct performance problems, follow through on established disciplinary procedures, consulting with management and/or HR.
- If the employee slips back into unacceptable job patterns, this may only be temporary. Continue the Five-Step Process and refer again to the EAP.
- If you receive confidential information from a treatment provider, call your EAP for further information and guidance.
- Individual Bargaining Agreements may be in place for your agency or bargaining unit. It is essential to act in accordance with that agreement in effectively addressing employee job performance and behavior concerns. This can include appropriate coordination with your Human Resources Department and the Employee Assistance Program to insure job performance standards are clear and understood, and to effectively bring work standards and behavior up to those standards.

**Always notify the Employee Assistance Program when you make a referral**

By notifying your EAP, you maximize the motivational effect of your discussion with the employee. The employee needs to know that your concern about job problems is real, and your desire to help is genuine. You can facilitate this by notifying the EAP of your referral by phone, fax or written correspondence.

APPENDIX A:  
**Confidentiality Policy**

**Washington State Employee Assistance Program**  
Confidentiality Policy

What you say at EAP will be kept in confidence. However, there are certain situations when this safeguard will be superseded. We are required BY LAW or this policy to reveal information shared during our assessment to other persons or agencies **without your permission** when one or more of the following situations occur:

- A. If we believe you may cause bodily harm or death, or cause damage or destruction of property.
- B. If we have reasonable cause to believe you may commit suicide.
- C. If we have reasonable cause to believe a child, adult dependent, or developmentally disabled person has suffered abuse or neglect, we must report, or cause a report to be made.
- D. If you came to EAP for an assessment ordered by the court, we must provide a representative of the court with the results of our work.
- E. If an attorney, court, or other tribunal issues a legitimate subpoena, we must answer questions regarding the information in your record unless a protective court order is issued by a competent jurisdiction forbidding or limiting compliance.
- F. When required by law to report health care information in your record to federal, state, or local public health or law enforcement authorities, or social service agencies.
- G. If you are referred by your supervisor or personnel officer due to allegations of poor job performance or inappropriate behavior on the job, we will give that person only the following information:
  - 1. Whether you made and kept an appointment with EAP.
  - 2. What time you came and left EAP.
  - 3. If you have further appointments scheduled with EAP.
- H. The information in your file may be shared with a clinical consultant to ensure you are receiving an accurate assessment and appropriate referrals.

Apart from these circumstances, the details of what you share during the assessment process will not be shared with anyone without your written permission.

I understand and agree to these conditions.

---

Client Signature

---

Date

---

EAP Representative

---

Date

APPENDIX B:  
**Policy on Alcoholism and Drug Dependency**

STATE OF WASHINGTON

## Policy on Alcoholism and Drug Dependency

### Purpose of Policy

The purpose of this policy is to enable the State, as an employer, to assist employees who develop job performance problems as a consequence of alcoholism or drug dependency to arrest their disabling illness and become fully productive employees again.

### The State's Position

Alcoholism and drug dependency are recognized by the State of Washington as treatable illnesses.

As an employer, the State's concern with these illnesses is entirely limited to the effect they may have on an employee's job performance or on-the-job behavior. There is no intent to intrude upon the private life of any employee.

For the purposes of this policy, alcoholism and drug dependency are defined as illnesses that interfere with an employee's ability to perform assigned work satisfactorily or that adversely affect his/her job behavior.

### Labor-Management Cooperation Required

In order to assure the fair and effective implementation of this policy, full cooperation between all levels of administration and appropriate employee organizations is required.

### Employee Rights and Responsibilities

Employees are encouraged to voluntarily seek expert assistance for alcoholism, drug dependency, or any other job-impairing personal problem. Free, professional help is available to all employees on a confidential basis through the State Employee Advisory Service.\*

Employees whose job performance or work related behavior is adversely affected by alcoholism or drug dependency will be expected to seek appropriate assistance. Any employee suffering from either condition will be given the same consideration that is extended to employees having any other illness, including the use of sick leave to pursue a professionally prescribed program of treatment.

No official records of the diagnosis or treatment of these illnesses shall be kept by any state employer. No employee shall have his/her job security or promotional opportunities jeopardized as a consequence of seeking such treatment.

The obligation of each employee to work effectively and cooperatively in his/her respective position is affirmed. The responsibility to improve sub-standard job performance or to correct unacceptable work behavior rests with the individual employee, regardless of the underlying causative factors or circumstances that may be present. Failure to correct unsatisfactory job performance or behavior, for whatever reason, will result in appropriate disciplinary action, including, when necessary, termination.

### Responsibility of Supervisors

Supervisors have the primary responsibility for implementing this policy. They should not diagnose alcoholism, drug dependency, or any other complex medical-behavioral problem, but they are required to identify, document and attempt to correct all employee job performance and/or work behavior problems, using standard corrective action procedures.


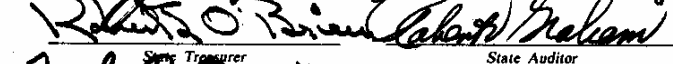


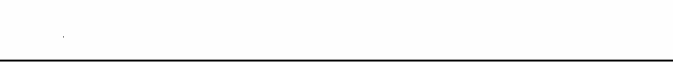

In those instances where normal corrective efforts fail to bring about the resolution of an employee's job related problems, supervisors are directed to consider referral to the State Employee Advisory Service\* for professional assessment and problem resolving assistance.

\*Olympia: 753-3260  
SCAN: 234-3260

\*Seattle: 464-6883  
SCAN: 576-6883

\*Spokane: 456-5000  
SCAN: 545-5000

Effective date of adoption: November 1, 1982  
(supersedes policy statement of July 1, 1972.)

  
Governor  
  
Lieutenant Governor  
  
State Auditor  
  
State Treasurer  
  
Commissioner of Public Lands  
  
Insurance Commissioner

  
Secretary of State  
  
Attorney General  
  
Insurance Commissioner

# Washington State Employee Assistance Program 2005 Work Performance Calendar

Employee Name

JANUARY							FEBRUARY							MARCH						
S	M	T	W	T	F	S	S	M	T	W	T	F	S	S	M	T	W	T	F	S
						1			1	2	3	4	5			1	2	3	4	5
2	3	4	5	6	7	8	6	7	8	9	1	1	12	6	7	8	9	1	1	12
9	1	1	1	1	1	15	1	1	1	1	1	1	19	1	1	1	1	1	1	19
1	1	1	1	2	2	22	2	2	2	2	2	2	26	2	2	2	2	2	2	26
2	2	2	2	2	2	29	2	2						2	2	2	3	3		
3	3																			
APRIL							MAY							JUNE						
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3	4	5	6	7	8	9	8	9	1	1	1	1	14	5	6	7	8	9	1	11
1	1	1	1	1	1	16	1	1	1	1	1	2	21	1	1	1	1	1	1	18
1	1	1	2	2	2	23	2	2	2	2	2	2	28	1	2	2	2	2	2	25
2	2	2	2	2	2	30	2	3	3					2	2	2	2	3		
JULY							AUGUST							SEPTEMBER						
S	M	T	W	T	F	S	S	M	T	W	T	F	S	S	M	T	W	T	F	S
					1	2		1	2	3	4	5	6					1	2	3
3	4	5	6	7	8	9	7	8	9	1	1	1	13	4	5	6	7	8	9	10
1	1	1	1	1	1	16	1	1	1	1	1	1	20	1	1	1	1	1	1	17
1	1	1	2	2	2	23	2	2	2	2	2	2	27	1	1	2	2	2	2	24
2	2	2	2	2	2	30	2	2	3	3				2	2	2	2	2	3	
3																				
OCTOBER							NOVEMBER							DECEMBER						
S	M	T	W	T	F	S	S	M	T	W	T	F	S	S	M	T	W	T	F	S
						1			1	2	3	4	5					1	2	3
2	3	4	5	6	7	8	6	7	8	9	10	1	12	4	5	6	7	8	9	10
9	1	1	1	1	1	15	1	1	1	1	17	1	19	1	1	1	1	1	1	17
1	1	1	1	2	2	22	2	2	2	2	24	2	26	1	1	2	2	2	2	24
2	2	2	2	2	2	29	2	2	2	3				2	2	2	2	2	3	31
3	3																			

Date	Description:	Date	Description:

O = Outstanding Performance

P = On the Job Problem

R = Regular Day Off

S = Sick Leave

U = Unscheduled Leave

A = Annual Leave

T = Tardy/Late



APPENDIX D:  
***Suggested Language for EAP Referral***

This can be given in verbal or written form to your employee. It is also very helpful to give the employee an EAP brochure when making the referral.

“Job difficulties such as those you are experiencing are often the result of personal problems of one type or another. Recognizing this fact, I am suggesting that you voluntarily contact the Employee Assistance Program at \_\_\_\_\_ (fill in the number of your regional EAP office). Attached is an EAP brochure that describes their services. I urge you to discuss with them any problems you might have that may be affecting your work and follow the recommendations they make. I believe the kind of help they can give you will assist in bringing your work performance back up to standard.”

APPENDIX E:  
(Effective July 1, 2005)

**WAC 357-31-325 Must an employer grant leave with pay for other miscellaneous reasons such as to take a state examination?**

- (1) Leave with pay **must** be granted to an employee:
  - (a) To allow an employee to receive assessment from the employee advisory service; or
  - (b) When an employee is scheduled to take an examination or participate in an interview for a position with a state employer during scheduled work hours.
    - (i) Employers may limit the number of occurrences or the total amount of paid leave that will be granted to an employee to participate in an interview or take an examination during scheduled work hours.
    - (ii) Employers may deny an employee's request to participate in an interview or take an examination during scheduled work hours based upon operational necessity.
- (2) An employer **may** grant leave with pay for an employee to perform civil duties including but not limited to fire fighting, search and rescue efforts or donating blood. In the department of natural resources, leave with pay equivalent to one regular workshift may be allowed for the purpose of rest and recuperation after ten (10) consecutive calendar days performing emergency work under an incident command system, defined in RCW 38.52.010.

[Statutory Authority: Chapter 41.06 RCW. 05-08-138, § 357-31-325, filed 4/6/05, effective 7/1/05.]

## APPENDIX F:

### ***Additional EAP Resources***

Visit us at <http://hr.dop.wa.gov/eap.html>.

Our web site includes current versions of the following EAP Resources:

- EAP Presentations
- EAP Brochures
- EAP Work Performance Calendar
- Supervisor's Guide
- Addressing Violence in the Workplace
- Supervisor Newsletter
- Employee Newsletter
- EAP Handouts

### **EAP offices to serve you ...**

#### **Olympia:**

3400 Capitol Boulevard  
Olympia, WA 98504  
PH: (360) 753-3260  
FAX: (360) 664-0498

#### **Seattle:**

701 Dexter Avenue N., Suite #108  
Seattle, WA 98109  
PH: (206) 281-6315  
FAX: (206) 281-6319

#### **Spokane:**

4407 North Division, Suite #210  
The Northtown Office Building  
Spokane, WA 99207  
PH: (509) 482-3686  
FAX: (509) 482-3600

Visit us on the web at:

<http://hr.dop.wa.gov/eap.html>